

Electronic Form 4 Field Specifications

Version 1, 12/20/99

Medium

Commencing in April 2000, Form 4 will be submitted electronically via diskette or e-mail. Other mediums (such as FTP) will be considered in the future.

Character Set

US-ASCII (delimited) See Note 1

File Format

<Record-1><return><linefeed>
<Record-2><return><linefeed>
...

Record Format

<field-1>,<field-2>,...

Field Format

"Text" (e.g. "CA" or "LOS ANGELES" or "LA 95-12555" or "04")
<digits>[.<digits>] (e.g. 10000.00 or 0.00)
<date-with-four-digit-year> (e.g. 09/13/1999 or __/__/____)

Example

Version, Region, State, Field Office, Trustee Last Name, Trustee First Initial (with period), Trustee Code, Case Number, Case Name, Date Submitted, Date Closed, Gross Receipts, Exemptions, Excess Funds, etc....

as follows:

"1","14","CA","LOS ANGELES","TRUSTEE","J.",",","95-12345","JAMES A. SMITH",12/15/1999,__/__/____,120000.00,560.12,0.00,etc....<CR><LF>

Field Assignments (See Note 2)

N = Numeric

A = Text, any character including dashes

D = Date

Field	Type/ Length	Description
1	A(3)	Version (This would be version 1.) See Note 3
2	A(2)	Region (e.g. "14" or "01") See Note 4
3	A(2)	State Code (e.g. "CA") See Note 5
4	A(30)	Field Office (uppercase) (e.g. "LOS ANGELES")
5	A(20)	Trustee Last Name (uppercase) (e.g. "TRUSTEE")
6	A(2)	Trustee First Initial (uppercase, with period) (e.g. "J.")
7	A(5)	Trustee Code, assigned by EOUST (e.g. "34587") This will be blank ("") in the electronic version submitted by the trustee. See Note 6
8	A(15)	Case Number (alphanumeric plus dashes and spaces) (e.g. "LA 95-12345") See Note 7
9	A(40)	Case Name (uppercase) (e.g. "SMITH, JAMES A." or "JAMES A. SMITH")
10	D(10)	Date Submitted – (e.g. 12/15/1999) See Note 8
11	D(10)	Date Closed – (e.g., 01/15/2000) This will be blank (___/___/___) in the version submitted by the trustee. See Note 9
12	N(13,2)	Gross Receipts (e.g. 1234567890.12)
13	N(13,2)	Exemptions
14	N(13,2)	Excess Funds (If zero, it should be reported as 0.00)
15	N(13,2)	Non-Estate Funds Paid to 3 rd Parties
16	N(13,2)	Secured: Real Estate (Claims)
17	N(13,2)	Secured: Real Estate (Paid)
18	N(13,2)	Secured: Personal Property & Intangibles (Claims)
19	N(13,2)	Secured: Personal Property & Intangibles (Paid)
20	N(13,2)	Secured: IRS Tax Liens (Claims)
21	N(13,2)	Secured: IRS Tax Liens (Paid)
22	N(13,2)	Secured: Other Governmental Tax Liens (Claims)
23	N(13,2)	Secured: Other Governmental Tax Liens (Paid)
24	N(13,2)	Ch. 7 Admin: Trustee Fees (Claims)
25	N(13,2)	Ch. 7 Admin: Trustee Fees (Paid)
26	N(13,2)	Ch. 7 Admin: Trustee Expenses (Claims)
27	N(13,2)	Ch. 7 Admin: Trustee Expenses (Paid)
28	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Fees (Claims)
29	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Fees (Paid)
30	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Expenses (Claims)
31	N(13,2)	Ch. 7 Admin: Trustee's Firm Legal Expenses (Paid)
32	N(13,2)	Ch. 7 Admin: Other Firm's Legal Fees (Claims)

Field	Type/ Length	Description
33	N(13,2)	Ch. 7 Admin: Other Firm's Legal Fees (Paid)
34	N(13,2)	Ch. 7 Admin: Other Firm's Legal Expenses (Claims)
35	N(13,2)	Ch. 7 Admin: Other Firm's Legal Expenses (Paid)
36	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Fees (Claims)
37	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Fees (Paid)
38	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Expenses (Claims)
39	N(13,2)	Ch. 7 Admin: Trustee's Firm Accounting Expenses (Paid)
40	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Fees (Claims)
41	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Fees (Paid)
42	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Expenses (Claims)
43	N(13,2)	Ch. 7 Admin: Other Firm's Accounting Expenses (Paid)
44	N(13,2)	Ch. 7 Admin: Real Estate Commissions (Claims)
45	N(13,2)	Ch. 7 Admin: Real Estate Commissions (Paid)
46	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Fees (Claims)
47	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Fees (Paid)
48	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Expenses (Claims)
49	N(13,2)	Ch. 7 Admin: Auctioneer/Liquidator Expenses (Paid)
50	N(13,2)	Ch. 7 Admin: Other Professional Fees/Expenses (Claims)
51	N(13,2)	Ch. 7 Admin: Other Professional Fees/Expenses (Paid)
52	N(13,2)	Ch. 7 Admin: Expenses of Operating Business in Chapter 7 (Claims)
53	N(13,2)	Ch. 7 Admin: Expenses of Operating Business in Chapter 7 (Paid)
54	N(13,2)	Ch. 7 Admin: Other Expenses (Claims)
55	N(13,2)	Ch. 7 Admin: Other Expenses (Paid)
56	N(13,2)	Ch. 7 Admin: Income Taxes – IRS (Claims)
57	N(13,2)	Ch. 7 Admin: Income Taxes – IRS (Paid)
58	N(13,2)	Ch. 7 Admin: Other State or Local Taxes (Claims)
59	N(13,2)	Ch. 7 Admin: Other State or Local Taxes (Paid)
60	N(13,2)	Ch. 7 Admin: U.S. Trustee Fees (Claims)
61	N(13,2)	Ch. 7 Admin: U.S. Trustee Fees (Paid)
62	N(13,2)	Ch. 7 Admin: Court Costs (Claims)
63	N(13,2)	Ch. 7 Admin: Court Costs (Paid)
64	N(13,2)	Prior Chapter Admin: Trustee Fees (Claims)
65	N(13,2)	Prior Chapter Admin: Trustee Fees (Paid)
66	N(13,2)	Prior Chapter Admin: Trustee Expenses (Claims)
67	N(13,2)	Prior Chapter Admin: Trustee Expenses (Paid)
68	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Fees (Claims)
69	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Fees (Paid)
70	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Expenses (Claims)
71	N(13,2)	Prior Chapter Admin: Trustee's Firm Legal Expenses (Paid)
72	N(13,2)	Prior Chapter Admin: Other Firm's Legal Fees (Claims)
73	N(13,2)	Prior Chapter Admin: Other Firm's Legal Fees (Paid)
74	N(13,2)	Prior Chapter Admin: Other Firm's Legal Expenses (Claims)

Field	Type/ Length	Description
75	N(13,2)	Prior Chapter Admin: Other Firm's Legal Expenses (Paid)
76	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Fees (Claims)
77	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Fees (Paid)
78	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Expenses (Claims)
79	N(13,2)	Prior Chapter Admin: Trustee's Firm Accounting Expenses (Paid)
80	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Fees (Claims)
81	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Fees (Paid)
82	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Expenses (Claims)
83	N(13,2)	Prior Chapter Admin: Other Firm's Accounting Expenses (Paid)
84	N(13,2)	Prior Chapter Admin: Real Estate Commissions (Claims)
85	N(13,2)	Prior Chapter Admin: Real Estate Commissions (Paid)
86	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Fees (Claims)
87	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Fees (Paid)
88	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Expenses (Claims)
89	N(13,2)	Prior Chapter Admin: Auctioneer/Liquidator Expenses (Paid)
90	N(13,2)	Prior Chapter Admin: Other Professional Fees/Expenses (Claims)
91	N(13,2)	Prior Chapter Admin: Other Professional Fees/Expenses (Paid)
92	N(13,2)	Prior Chapter Admin: Income Taxes – IRS (Claims)
93	N(13,2)	Prior Chapter Admin: Income Taxes – IRS (Paid)
94	N(13,2)	Prior Chapter Admin: Other State or Local Taxes (Claims)
95	N(13,2)	Prior Chapter Admin: Other State or Local Taxes (Paid)
96	N(13,2)	Prior Chapter Admin: Operating Expenses (Claims)
97	N(13,2)	Prior Chapter Admin: Operating Expenses (Paid)
98	N(13,2)	Prior Chapter Admin: Other Expenses (Claims)
99	N(13,2)	Prior Chapter Admin: Other Expenses (Paid)
100	N(13,2)	Priority: Wages 507(a)(3) (Claims)
101	N(13,2)	Priority: Wages 507(a)(3) (Paid)
102	N(13,2)	Priority: Contributions: Employee Benefit Plans 507(a)(4) (Claims)
103	N(13,2)	Priority: Contributions: Employee Benefit Plans 507(a)(4) (Paid)
104	N(13,2)	Priority: Alimony & Child Support 507(a)(7) (Claims)
105	N(13,2)	Priority: Alimony & Child Support 507(a)(7) (Paid)
106	N(13,2)	Priority: Claims of Governmental Units 507(a)(8) (Claims)
107	N(13,2)	Priority: Claims of Governmental Units 507(a)(8) (Paid)
108	N(13,2)	Priority: Other 507(a)(2), (5), (6), and (9) (Claims)
109	N(13,2)	Priority: Other 507(a)(2), (5), (6), and (9) (Paid)
110	N(13,2)	General Unsecured (Claims)
111	N(13,2)	General Unsecured (Paid)

Notes

- 1) A delimited file is an ASCII text file in which each record ends with a carriage return and linefeed. The separator is a comma. Since character data may include commas, character fields are additionally delimited with double quotation marks (e.g. "CA" or "LOS ANGELES, SOUTH").
- 2) We did not include any fields that can be calculated from existing data fields. Fields like Net receipts, Total Secured Claims, and Percent of Receipts.
- 3) Field 1 – Version: describes the Specification Version which will be useful when fields are added/removed later, so files received from various versions can still be processed. This is Version 1 dated 8/18/99.
- 4) Field 2 – Region: This is a two-digit character field. Examples: "01", "02", "11", "12".
- 5) Field 3 – State: The two-character abbreviation for the State in which the case was filed. This State may differ from the State(s) where the chapter 7 trustee or United States Trustee office is located. For example, the State Code for a case filed in North Dakota is "ND", even though the trustee and United States Trustee office are physically located in South Dakota.
- 6) Field 7 - Trustee Code: This coding currently does not exist, but may be used in the future. It is anticipated that it will be a five-digit code, as in "34567". For the present, it should be reported as a blank field, as in "".
- 7) Field 8 – Case Number: The format for the case number should match the format that the trustee downloads from the court and reports on Forms 1, 2, and 3 (e.g. "9512345", "95-12345" or "LA 95-12345"). In some jurisdictions, the United States Trustee will insert a prefix in this field to designate the district in which the case was filed (e.g. "302-95-12345").
- 8) Field 10 – Date Submitted: The date that the trustee submits Form 4 to the United States Trustee office.
- 9) Field 11 – Date Closed: This date is entered by the United States Trustee when the TDR is approved. It will be reported by the trustee as a blank field, as in __/__/____.